

03/23/99

3525 U.S. PTO

UTILITY PATENT APPLICATION TRANSMITTAL (Large Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.
EN997064Total Pages in this Submission
3

TO THE ASSISTANT COMMISSIONER FOR PATENTS

Box Patent Application
Washington, D.C. 20231

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

COPPER CLEANING COMPOSITIONS, PROCESSES AND PRODUCTS DERIVED THEREFROM

and invented by:

Kathleen L. Covert (deceased) by Kelly Hawley executrix
John M. Lauffer
Peter A. Moschak

If a **CONTINUATION APPLICATION**, check appropriate box and supply the requisite information:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: _____

Which is a:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: _____

Which is a:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: _____

Enclosed are:

Application Elements

1. ☒ Filing fee as calculated and transmitted as described below
2. ☒ Specification having 35 pages and including the following:
 - a. ☒ Descriptive Title of the Invention
 - b. ☐ Cross References to Related Applications (if applicable)
 - c. ☐ Statement Regarding Federally-sponsored Research/Development (if applicable)
 - d. ☐ Reference to Microfiche Appendix (if applicable)
 - e. ☒ Background of the Invention
 - f. ☒ Brief Summary of the Invention
 - g. ☐ Brief Description of the Drawings (if drawings filed)
 - h. ☒ Detailed Description
 - i. ☒ Claim(s) as Classified Below
 - j. ☒ Abstract of the Disclosure

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Application Elements (Continued)

3. ☐ Drawing(s) *(when necessary as prescribed by 35 USC 113)*
- a. ☐ Formal Number of Sheets _____
- b. ☐ Informal Number of Sheets _____
4. ☒ Oath or Declaration
- a. ☐ Newly executed *(original or copy)* ☒ Unexecuted
- b. ☐ Copy from a prior application (37 CFR 1.63(d)) *(for continuation/divisional application only)*
- c. ☒ With Power of Attorney ☐ Without Power of Attorney
- d. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application,
see 37 C.F.R. 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference *(usable if Box 4b is checked)*
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under
Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby
incorporated by reference therein.
6. ☐ Computer Program in Microfiche *(Appendix)*
7. ☐ Nucleotide and/or Amino Acid Sequence Submission *(if applicable, all must be included)*
- a. ☐ Paper Copy
- b. ☐ Computer Readable Copy *(identical to computer copy)*
- c. ☐ Statement Verifying Identical Paper and Computer Readable Copy

Accompanying Application Parts

8. ☒ Assignment Papers *(cover sheet & document(s))*
9. ☐ 37 CFR 3.73(B) Statement *(when there is an assignee)*
10. ☐ English Translation Document *(if applicable)*
11. ☒ Information Disclosure Statement/PTO-1449 ☒ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Acknowledgment postcard
14. ☒ Certificate of Mailing

☐ First Class ☒ Express Mail *(Specify Label No.):* EM589154083US

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Accompanying Application Parts (Continued)

15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)

16. ☒ Additional Enclosures (please identify below):

Copy of Letters Testamentary, Letter to Assistant Commissioner

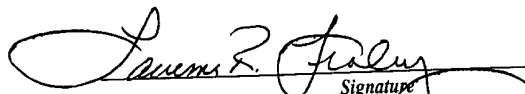
Fee Calculation and Transmittal

CLAIMS AS FILED

For	#Filed	#Allowed	#Extra	Rate	Fee
Total Claims	20	- 20 =	0	x \$18.00	\$0.00
Indep. Claims	4	- 3 =	1	x \$78.00	\$78.00
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					\$0.00
BASIC FEE					\$760.00
OTHER FEE (specify purpose)					\$0.00
TOTAL FILING FEE					\$838.00

- ☐ A check in the amount of _____ to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge and credit Deposit Account No. 09-0457 as described below. A duplicate copy of this sheet is enclosed.
- ☒ Charge the amount of \$838.00 as filing fee.
- ☒ Credit any overpayment.
- ☒ Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.
- ☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

Dated: March 22, 1999


Signature

Lawrence R. Fraley/Reg. # 26,885
IBM Corporation/Dept. N50/404
1701 North Street
Endicott, NY 13760

cc:

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)

Applicant(s): K. L. Covert (deceased) et al.

Docket No.

EN997864

Serial No.

Filing Date

Examiner

Group

Invention: COPPER CLEANING COMPOSITIONS, PROCESSES AND PRODUCTS DERIVED THEREFROM

I hereby certify that this Patent App, IDS w/ References, Letters Testamentary w/ letter to Asst. Commissioner
(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under
37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on
03/23/99
(Date)

Bethany J. Fitzpatrick

(Typed or Printed Name of Person Mailing Correspondence)

Bethany J. Fitzpatrick
(Signature of Person Mailing Correspondence)

EM589154083US

("Express Mail" Mailing Label Number)

Note: Each paper must have its own certificate of mailing.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application:
Covert et al.
Serial No.:
Filed: Herewith
Title: Copper Cleaning
Compositions, Processes
And Products Derived Therefrom

Group Art Unit: N/A
Examiner: N/A
Docket No.: EN997064
IBM Corporation
Intellectual Property Law
1701 North Street
Endicott, NY 13760

Assistant Commissioner For Patents
Washington, DC 20231

COMMUNICATION

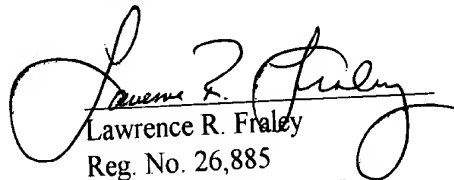
Dear Sir:

We are enclosing a true copy of the "Certificate of Appointment (Estate)" for the Estate of Kathleen L. Covert, deceased, an inventor on the above identified application. These Letters Testamentary certify that Kelly Hawley is qualified according to law as Independent Administrator of the Estate of Kathleen L. Covert.

The Commissioner is authorized to charge any fees associated with this submission to Deposit Account number 09-0457.

Respectfully Submitted,

Date: Mar. 22, 1999


Lawrence R. Fraley
Reg. No. 26,885
Phone: (607) 755-3207
Fax: (607) 755-3250

EN997064

STATE OF NEW YORK
COUNTY OF BROOME } ss:
SURROGATE'S COURT

**CERTIFICATE
OF
APPOINTMENT**
(Estate)

IT IS HEREBY CERTIFIED that letters in the estate of the decedent named below have been granted by this Court. The named representative(s) is authorized and empowered to do and perform all acts requisite to the proper administration and disposition of the estate of such decedent, in accordance with the laws of this State and the limitations, if any, contained in said letters as indicated below.

Name of Decedent: KATHLEEN L. COVERT 98-0329
Domicile of Decedent: TOWN OF DICKINSON
Date/Place of Death: 04-03-1998 MIDDLETOWN TWP. PA
Representative(s) to Whom: KELLY HAWLEY
Letters Issued: LETTERS TESTAMENTARY
Type of Letters Issued: LETTERS TESTAMENTARY
Date Letters Issued: MAY 21, 1998

and such letters are unrevoked and in force as of this date.

(L.S.)

IN TESTIMONY WHEREOF, the seal of the
Surrogate's Court of Broome County, New
York, has been affixed.

WITNESS, HON. JOHN M. THOMAS,
Surrogate of said County at the City of
Binghamton, New York

THIS CERTIFICATE IS NOT VALID
WITHOUT A RAISED SEAL OF THE COURT

Date: SEPTEMBER 15, 1998

Marilyn A. Vescio
Chief Clerk of the Surrogate's Court